

DECREE
of the National Bank of Slovakia
of 3 January 2012,

amending Decree No. 6/2009 of the National Bank of Slovakia on explanatory records, reports and other reports by banks, by foreign bank affiliates, by investment firms and by foreign securities dealer affiliates for the purposes of performing supervision and on amending the Decree of National Bank of Slovakia No. 26/2008 on explanatory records by banks, by foreign bank affiliates, by securities dealers and by foreign securities dealers affiliates for statistical purposes as amended by Decree No 4/2011 of the National Bank of Slovakia.

In accordance with Article 42(2) and Article 45(5) of Act No 483/2001 Coll. on banks and on amendments to certain laws as amended, and in accordance with Article 77(7) and Article 139(5) of Act No 566/2001 Coll. on securities and investment services and on amendments to certain acts (hereinafter “the Securities Act”) as amended, the National Bank of Slovakia stipulates as follows:

Article 1

Decree No 6/2009 of the National Bank of Slovakia of 24 November 2009 on explanatory records, reports and other reports by banks, by foreign bank affiliates, by investment firms and by foreign securities dealer affiliates for the purposes of performing supervision and on amending the Decree of National Bank of Slovakia No. 26/2008 on explanatory records by banks, by foreign bank affiliates, by securities dealers and by foreign securities dealers affiliates for statistical purposes (Notification No 520/2009 Coll.) as amended by Decree No 4/2011 (Notification No 146/2011 Coll.) shall be amended as follows:

1. In Article 1(1), letter (z) shall be added:
“(z) Report on remuneration Bd (ODM) 22-01 / Bdk (ODM) 60-01, the template of which, including the methodology of its development, is indicated in Annex No 32.”.
2. The introductory sentence in Article 1(3) shall read:
“(3) Reports and statements submitted by investment firms are as follows:”.
3. In Article 1(3), letters (r) and (s) shall be added:
“(r) Report on remuneration Bd (ODM) 22-01 / Bdk (ODM) 60-01, the template of which, including the methodology of its development, is indicated in Annex No 32,
(s) Report on the investment firm's financial performance Ocp (RPS) 20-02 in accordance with Article 77(1) of the Securities Act.”.
4. The introductory sentence in Article 1(4) shall read:
“(4) Statements and reports submitted by branches of foreign investment firms are as follows:”.
5. In Article 1(4) letter (g) shall be added:

“(g) Report on the foreign investment firm's financial performance Ocp (ASR) 19-02 in accordance with Article 77(1) of the Securities Act.”.

6. In Article 1(5), the wording “(n) and (q)” shall be replaced with the wording “(n), (q) to (s)” and the wording “(b) and (d)” shall be replaced with the wording “(b), (d) and (g)”.

7. In Article 2 after paragraph (13), paragraphs (14) and (15) shall be added as follows:
“(14) Statements pursuant to Article 1(1)(z) and Article 1(3)(r) are developed annually depending on the status as of the last day of the corresponding calendar year.

(15) Reports pursuant to Article 1(3)(s) and Article 1(4)(g) are developed
(a) semi-annually, depending on the status as of the last day of the first half of the calendar year (semi-annual report) and
(b) annually, depending on the status of the last day of the corresponding calendar year (annual report).”.

The present paragraph (14) shall become paragraph (16).

8. In Article 2(16), the word “13” shall be replaced with words “13 to 15”.

9. In Article 3(1), the coma after the words “1 to 6” shall be omitted and the words “and 14,” shall be inserted.

10. In Article 3(3), the word “13” shall be replaced with the word “15”.

11. In Article 3(6), the words “until 19 January” shall be replaced with words “until the twelfth working day of January”.

12. In Article 3 after paragraph (18), the new paragraph (19) shall be inserted as follows:

“(19) Statements pursuant to Article 1(1)(z) and Article 1(3)(r) shall be submitted by 30 June of the following calendar year.”.

The present paragraph (19) shall become paragraph (20).

13. In Article 3(20) the words “5 to 16 and 18” shall be replaced with words “5 to 16, 18 and 19”.

14. After Article 5, Article 5a shall be inserted as follows:

“Article 5a

This Decree transposes provisions of the legally binding acts of the European Union specified in Annex No 33.”.

15. After Article 6, Article 6a shall be inserted as follows:

“Article 6a

This Decree repeals Part II of Decree No 24/2008 of 25 November of the National Bank of Slovakia amending certain decrees of the National Bank of Slovakia relating to the introduction of the euro in the Slovak Republic (Notification No 513/2008 Coll.).”.

16. Annex No 2 shall be replaced with Annex No 1 to this Decree.
17. Annex No 9 shall be replaced with Annex No 2 to this Decree.
18. Annex No 12 shall be replaced with Annex No 3 to this Decree.
19. Annex No 18 shall be replaced with Annex No 4 to this Decree.
20. Annex No 20 shall be replaced with Annex No 5 to this Decree.
21. Annex No 21 shall be replaced with Annex No 6 to this Decree.
22. Annex No 28 shall be replaced with Annex No 7 to this Decree.
23. After Annex No 31, Annex No 32 shall be added which is Annex No 8 to this Decree.
24. After Annex No 32, Annex No 33 shall be added which is Annex No 9 to this Decree.

Article II

This Decree shall enter into force on 31 January 2012.

Jozef Makúch
Governor

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